



# **CIVIL SOCIETY ORGANIZATIONS AND PUBLIC/PRIVATE SECTOR PARTNERSHIPS**

## **PARTICIPANT'S HANDBOOK FOR HIGHER LOCAL GOVERNMENTS**

**Ministry of Local Government  
P.O. Box 7037  
Kampala**

**September 2003**

**NOT FOR SALE**

## **Foreword by the Ministry of Local Government**

## **Table of Contents**

	<b>Page</b>
<b>Foreword</b>	
List of Abbreviations and Acronyms	2
1.0 Introduction	3
2.0 Objectives of the Course	3
3.0 Course Descriptors	4
4.0 Participant's Notes	7
Session One: Decentralisation in Uganda	7
Session Two: Definition and Types of Public/Private Partnerships	18
Session Three: Role of Local Governments, CSOs, and the Private Sector In Public/Private Partnerships	22
Session Four: Management of Public/Private Partnerships	25
Session Five: Advocacy and Lobbying	28
Session Six: Research Skills and Market Research	38
Session Seven: Monitoring and Evaluation	41
Session Eight: Communication Skills	45
5.0 References	52
6.0 Glossary of Terms	53

**List of Abbreviations and Acronyms**

CDA	Community Development Assistant
CDO	Community Development Officer
CSO(s)	Civil Society Organizations
FAL	Functional Adult Literacy
GOU	Government of Uganda
HIV/AIDS	Human Immuno-deficiency Virus/Acquired Immune Deficiency Syndrome
LGDP	Local Government Development Programme
M & E	Monitoring and Evaluation
MOLG	Ministry of Local Government
NGO	Non Government Organisation
PEAP	Poverty Eradication Action Plan
PMA	Plan for Modernization of Agriculture
PPP	Public Private Partnership(s)
PPS	Public/Private Sector

## **1.0 Introduction**

All stakeholders have acknowledged the role of the private sector and civil society organisations in supplementing the efforts of local governments to provide services and facilitate or mobilise communities for their full participation in local governance and the development process. Public/private partnerships can create synergies in addressing the crosscutting issues of gender, HIV/AIDS, and environment, and development in general.

The role played by Civil Society Organisations (CSOs) and the private sector (PS) in supplementing the Public Sector is becoming increasingly important in ensuring democratic development at local level in a decentralized environment. Their need to participate in decision-making as a result of the fundamental changes in management and organisational culture brought about by the decentralization policy is paramount. However, it is apparent that CSO and the Private Sector lack certain skills though they are expected to be specialised particularly in the area of advocacy. There are some of the critical skills that they need to acquire considering their role and opportunities within the decentralised political environment. Increased CSO and PPS participation in advocacy, public decision-making, and oversight of government programs therefore calls for capacity building to allow of the respective players to internalise their roles in working together.

In order to ensure better quality and efficient provision of services as well as increased participation of the people in planning and control of decision-making, the private sector and civil society organisations together with their respective local governments will need to work together in partnerships to complement each other. This Course will build the capacity of the participants to understand the characteristics of each sector, and how to cooperate and collaborate to build partnerships.

## **2.0 Objectives of the Course**

The purpose of this training is to build the capacity of Civil Society Organisations and the private and public sectors to enable them play a far more pro-active partnership/oversight role in matters of local governance in a decentralised environment.

By the end of the course, participants should be able to:

- Articulate the concepts of decentralization, participatory democracy, decision-making and information channels;
- Identify areas of collaboration between CSOs, Private Sector and Local Government in areas of development, planning and poverty eradication.
- Identify areas for collaboration in influencing each other, and establish the steps to be taken in developing feasible partnership.

### **3.0 Course Descriptors**

#### **3.1 Course Title: Civil Society Organizations and Public/Private Sector Partnerships**

**Overall Module Objective:** The purpose of this training is to build the capacity of Civil Society Organisations, the Private and the Public Sector to enable them play a far more pro-active partnership / oversight role in matters of Local Governance in a decentralised environment. By the end of the course, participants should be able to: Articulate the concepts of decentralization, participatory democracy, decision-making and information channels; Identify areas of collaboration between CSOs, Private Sector and Local Government in areas of development, planning and poverty eradication. Identify areas for collaboration in influencing each other, and establish the steps to be taken in developing feasible partnerships.

#### **3.2 Session One Course Title: Decentralisation in Uganda**

**Session Objectives:** To define decentralisation in Uganda and to place the role of the different stakeholders/key players in the decentralisation process.

**Session Duration:** Two Hours

#### **3.3 Session 2 Course Title: Definition and Types of Public/Private Partnerships**

**Session Objectives:** To define what is meant by public private partnerships; to articulate the rationale for public private partnerships in decentralised service delivery

in Uganda; and to outline the different types of public private partnerships suitable for Uganda

**Session Duration:** Two Hours

**3.4 Session 3 Course Title: Role of Local Governments, CSOs, and the Private Sector in Public/Private Partnerships**

**Session Objectives:** To outline the roles of all key stakeholders in public private partnerships, i.e. the private sector, local governments and CSOs and to articulate the key issues that affect the three sectors in public private partnerships.

**Session Duration:** Two Hours

**3.5 Session 4 Course Title: Management of Public/Private Partnerships**

**Session Objectives:** To define local development, participatory development, productive partnership, local government and private sector; to define the role of local government and the private sector in development; to identify stakeholders in local development; to articulate issues that make partnerships work in a sustainable manner; and to propose some areas for partnership building between local governments, CSOs and the private sector.

**Session Duration:** Two Hours

**3.6 Session 5 Course Title: Advocacy and Lobbying**

**Session Objectives:** To define advocacy and lobbying and articulate the need for advocacy and lobbying and also to outline the strategies and practical steps that can be adopted while carrying out advocacy.

**Session Duration:** Two Hours

**3.7 Session 6 Course Title: Research Skills**

**Session Objectives:** For participants to be able to define research; to outline the steps in research; and to articulate the key issues that affect research and data management in Uganda.

**Session Duration:** Two Hours

**3.8 Session 7 Course Title: Monitoring and Evaluation (M&E)**

**Session Objectives:** To define Monitoring and Evaluation; to articulate the importance of M&E; and also to outline the role of the different stakeholders in carrying out M&E.

**Session Duration:** Two Hours

**3.9 Session 8 Course Title: Communication Skills**

**Session Objectives:** To understand the definition and importance of communication; to understand different communication models and processes; to understand Communication lines in Local Government and common types of communication.

**Session Duration:** Two Hours



## **4.0 Participant's Notes**

### **Handout to Session One: Decentralization in Uganda**

#### **Definition**

Decentralisation is the transfer of legal, political, administrative and financial authority to plan, make decisions and manage public functions and services. The transfer is from central to lower levels of administration. There are four types of decentralisation. However, in reality, the four are not mutually exclusive. Indeed, Uganda's Decentralisation Programme consists of an innovative combination of three of the four forms of decentralisation described below.

Government has privatised a number of services that used to be provided by the state, it has devolved substantial powers to local governments, and some central government functions have been deconcentrated by having Central Government representatives in the Districts, e.g. the Office of the Resident District Commissioner.

#### **Deconcentration**

Deconcentration is the transfer of "workload" from the Central Government Ministry headquarters to staff located outside the national capital. Staff may not be given any independent authority to decide on how these functions are performed at the local level. This is characterised by:

- Direct reporting to parent ministries;
- District staff holding offices at the pleasure of national executives;
- Technical supervision being done by the central ministries.

#### **Delegation**

Delegation is the transfer of "responsibility" for decision-making and administration of public function to semi-independent organisations not wholly-controlled by Central Government but accountable to it, e.g. public corporations, project implementation units, etc.

In the local government context, delegation means giving powers to an individual or body to carry out a function on behalf of the Council. Functions and powers may be delegated to the following:

- The Chairperson of the Council; or
- The Executive Committee; or

- A Standing Committee; or
- An *Ad-Hoc* Committee (established for a specific purpose, after which it is disbanded).

According to the Local Government Act 1997, the following functions cannot be delegated:

- Approval of annual budget estimates;
- Approval of supplementary estimates;
- Making by-laws for proper conduct of Councils' own business;
- Approval of development plans;
- Power to raise loans or mortgage Council property;
- Any other function or power that may be added by the Minister of Local Government with approval of Parliament.

### **Devolution**

Devolution is the transfer of “responsibility” for planning, administration and financial management to autonomous Local Governments with legally defined powers. With devolution, the staff serve the Local Government Councils and are not agents of Central Government.

### **Privatisation**

Privatisation seeks the involvement of the “private sector” in service delivery. This means delivery of certain services is left to the private market and Local Governments are no longer responsible for the delivery or financing of such privatised services.

The local government system in Uganda can be traced back to structures established by the British Colonial Government from around 1900. These structures were, in turn, moulded around the system of authority found in central Uganda (Buganda). The 1962 Constitution provided for the devolution of powers to Kingdoms, Urban Councils and District Councils. However, this trend was reversed by the 1967 Constitution, which centralised most powers.

### **The Post-1986 Reforms**

With the coming to power of the National Resistance Movement (NRM) in 1986, a number of legislative and administrative reforms were put in place. The main milestones in these reform process have been as follows.

- a) The nation-wide introduction of the Resistance Council system since 1986: This marked a democratisation of the Local Government administration. The institutions temporarily worked without any legal framework in the war-torn country, until their powers were defined in the Resistance Councils and Committees Statute, 1987.
- b) The Local Government Statute, 1993: This statute decentralised substantial functions to Local Governments and limited the role of Central Government in basic service provision to policy formulation, planning and inspection. The District and urban authorities would provide for all other functions.

#### Decentralisation of the Budget

It was decided to phase decentralisation of the budget. Work started initially on decentralising the recurrent budget in the following manner.

- **1993/94:** In the first year of decentralisation, the first 13 Districts were made responsible for managing expenditures on the specific votes for each sector Ministry which was having its services decentralised.
- **1994/95:** The first 13 Districts received block grants from Central Government and the District Councils made their own priorities for their budgets. The second batch of 14 Districts went on the vote system
- **1995/96:** The second batch of 14 Districts received block grants from Central Government and the last 13 Districts went on the vote system
- **1996/96:** all 39 Districts received block grants as financial transfers

The decentralisation process has now moved to the phase where the development (capital budgets) has been devolved to the local governments both at the District and lower levels. The devolution of the capital budget was piloted in five Districts under the District Development Project (DDP) and is now being scaled up to the rest of the local governments under the Local Government Development Programme (LGDP). Both programmes require the Local Governments to meet some minimum conditions in order to access the development funds. The conditions are derived from the Local Government Act, 1997 and the Local Government Financial and Accounting Regulations, 1998. The conditions, which are aimed at ensuring proper utilisation of the funds, are basically a

demonstration of functional capacity in development planning, functional capacity in financial management and functional capacity in engineering.

- c) *Uganda's Fourth Constitution of 1995*: The principles of a decentralised system of Local Government that were outlined in the Local Government Statute, 1993 were further entrenched in the Constitution.
- d) *The Local Government Act, 1997*: This law was passed to put into full effect the provisions of the 1995 Constitution of Uganda on the decentralisation policy.

### **Aims of Decentralisation**

There are five main aims of Uganda's decentralisation programme:

1. Transfer of power to Districts and lower level Local Governments;
2. Bringing political and administrative control over services to the point where they are actually delivered;
3. Freeing local managers from central constraints;
4. Improving financial accountability and responsibility;
5. Improving local capacity to plan, finance and manage delivery of services.

Below are some of the benefits of decentralisation:

- Brings services nearer to men, women, girls and boys;
- Allows men, women, girls and boys to identify their problems and make decisions on how to overcome them;
- Enables men, women, girls and boys to have a sense of responsibility to manage their own resources;
- Makes planning, monitoring and evaluation at all levels easier;
- Creates sustainable local development through improved sense of ownership by men, women, girls and boys;
- Potentially it could increase local revenue mobilisation and equitable distribution of resources;
- Helps build the capacity of men, women, girls and boys;
- Minimises delays in service delivery by shortening chain of decision-making;
- Avoids central decision-making which sometimes is oppressive to the population;

- Increases level of administrative control;
- Promotes sense of ownership and accountability in men, women, girls and boys.

### **1. Power relations**

The element of power relations is important in either impeding or facilitating implementation of decentralisation. A case in point in Uganda is who is bigger than who in the hierarchy is:

The RDC; -is a Senior Civil Servant appointed by the President

Roles and Responsibilities:

- Represent the President and Government in the District;
- Coordinate the administration of Government services in the District;
- Advise the Chairperson on the matters of a national nature that may affect the District or its plans or programmes, and particularly the relations between the District and the Government;
- Monitor and inspect the activities of Local Governments and where necessary advise the Chairpersons;
- Carry out such other functions as may be assigned by the President or prescribed by Parliament;
- Sensitize the populace on governmental policies and programmes, and in so doing shall liaise with the District Chairperson;
- Advise the Chairperson to instruct the Chief Internal Auditor to carry out special audit and submit to the Council;
- Draw the attention of the Auditor General to the need for special investigation audits of the Local Government Council;
- Draw the attention of the Inspector General of Government to a need to investigate any cases of mismanagement or abuse of office;
- Draw the attention of any relevant line Ministry to the divergence from or non-compliance with Government Policy by any Council within his or her area of jurisdiction;
- In consultation with the Speaker or Chairperson of a Council as the case may be, addresses the Council from time to time on any matter of national importance.

The District Chairperson; - is the political head of the district and elected by universal adult suffrage through a secret ballot.

**Roles and responsibilities:**

- Presides at meetings of the Executive Committee of the District;
- Monitors the general administration of the district;
- Monitors the implementation of council decisions;
- Monitor and coordinates the activities of Municipal and Town councils together with lower Local Councils and Administrative Units;
- Oversees the performance of persons employed by Government and monitor the provision of Government services or the implementation of projects in the Districts on behalf of council;
- Coordinates and monitors Government functions. (See also 2,3,4, of Section 14 of the Local Governments Act, 1997).

**The Speaker**

Section 24 of the Local Governments Act, 1997 has been amended to the effect that a Sub-County, Municipal, Town, City Division Council shall have a Speaker and Deputy Speaker elected by the Council from among the members of the Council.

**Roles and Responsibilities:**

- Presides at all meetings of the Council
- Is charged with the overall authority for the preservation of order in the Council, and the enforcement of rules of procedure of the Council
- Performs functions, which are similar to those of the Speaker of Parliament as may be consistent with the Local Governments Act, 1997.

In a number of Districts when the RDC is officiating at a function, the District Chairperson does not attend and vice versa. This competition for importance is not healthy for the development of the Local Government

## **2. Challenges to Decentralisation in Uganda**

**Poor Working Relations**

In a number of Local Governments, there is a poor working relationship between the political leadership and the civil servants. There is a tendency for politicians to look at civil servants as corrupt whilst, at the same time, communities consider politicians to be thieves. A number of civil servants have therefore been wrongly sent on forced leave or interdiction. In some cases,

politicians have tended to usurp powers and responsibilities otherwise legally bestowed upon boards and commissions.

### **Regional disparities**

Allowing the Districts / Sub-Counties to handle their resources is likely to cause disparities between Districts / Sub-Counties resulting in the rich ones becoming richer and the poor ones becoming poorer. The revenue base of some Districts is very low, while other Districts collect substantial amounts in local revenue. This denies a fairer distribution of the national cake. The attempt to address the regional inequality is still inadequate.

### **Poverty**

The general poverty levels in the country make it difficult for the Local Governments to raise adequate local revenue to finance their activities. Poverty of both the Councillors and the general population affects rational thinking, as each would be struggling for survival. This also affects the level of community contribution to the development process. The PEAP and PAF Programmes are meant to address the poverty issues, but this is a long term Vision.

### **Poor infrastructure and a narrow financial base**

Poor infrastructure and a narrow financial base affect delivery of services, hence watering down the cherished objective of decentralisation, namely “Bringing services nearer to the people”.

### **Inadequate Capacity**

Professional training of local government officials has tended to receive low priority in terms of financial resources. There is need to sensitize local governments on the importance of having skilled labour to manage the affairs of the Council.

### **Nepotism / sectarianism in Local Governments**

There is a strong undercurrent to employ “*sons and daughters of the soil*” in positions of responsibility at the expense of merit. This has led to some civil servants being victimized because they do not come from the areas they are serving in. There is need for the Local Governments to abide by the laid down recruitment rules, regulations, procedures and guidelines.

**Lack of support from Central officials**

Central Officials, fearing a loss of financial resources and influence, tend to doubt the capacity of the local councils, are inclined to overrule proposals by local officials and make plans or projects without adequately consulting them.

**Inadequate local revenue**

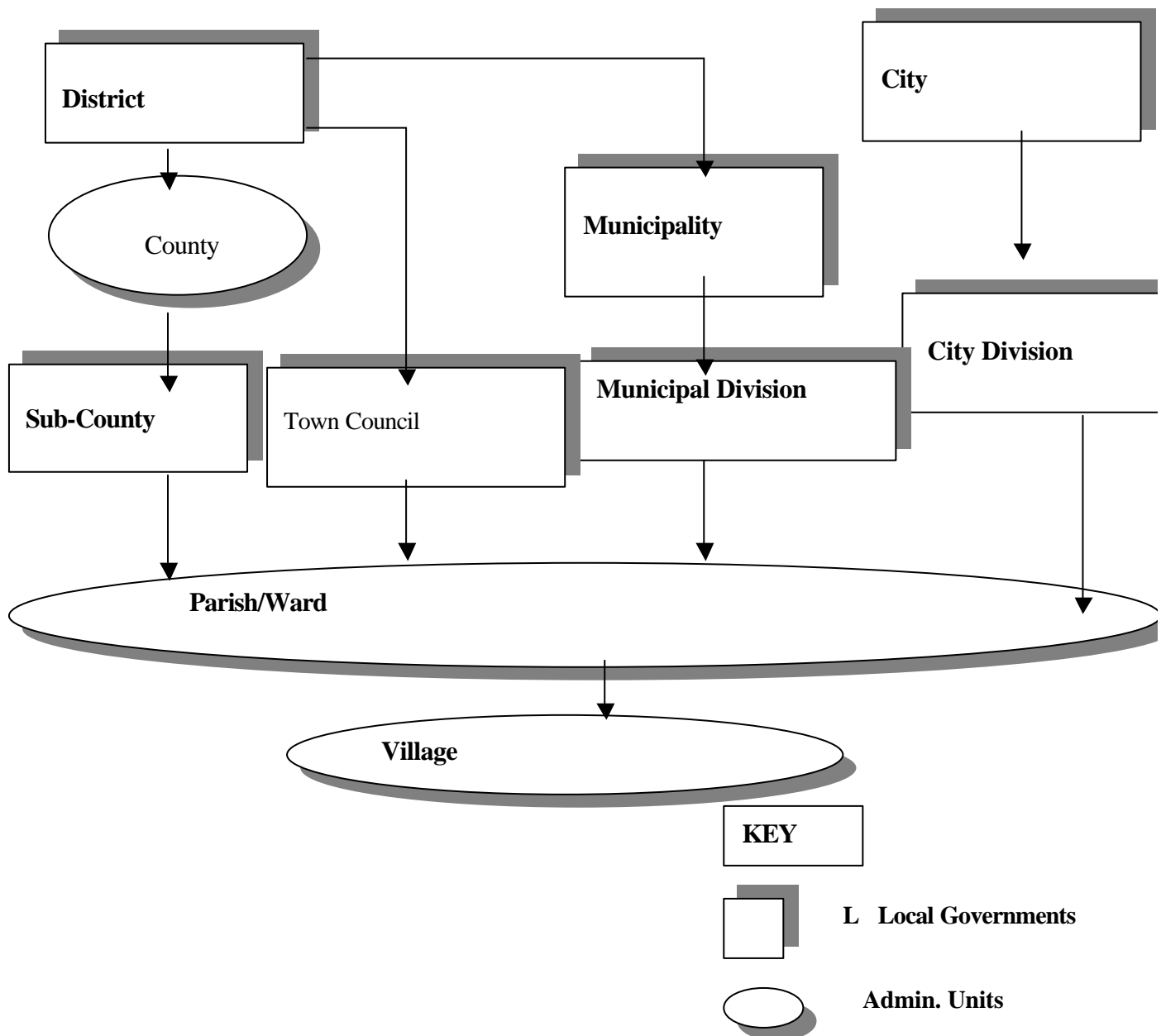
Local Governments still depend on the Central Government transfers, which compromises their autonomy mainly because of poor revenue generation. Over 90% of the budget for most Local Governments is financed with funds from the Central Government.

**Continued marginalisation of Women and other Disadvantaged groups**

As a result, many women and people from other marginalized groups are not willing to accept nominations for leadership positions. In order for them to be able to participate meaningfully in democratic processes, including local politics, more support will be required for candidates for political positions at community level. Women would need support and assistance with domestic chores in order to release time to participate in local politics and leadership. Local Councilors be they men or women, would need to better understand the existence of gender biases against women's participation in local participation process and their roles and responsibilities to counter such biases.



## The Local Governments Set UP and Structure



### Local Governments

Local Governments comprise of higher and lower local governments. Section 4 of the Local Governments Act provides that the system of local government shall be based on the District under which there shall be lower Local Governments and administrative units. The Act also provides that a City shall be equivalent to a District and a Division to a Sub- county (Section 5). Currently there are 56 Districts in Uganda including Kampala. All the City Divisions, all the 13 Municipalities, their respective Divisions, all Town Councils and all Sub-counties are lower Local Governments.

## **1. Administrative Councils**

The Administrative Units within Local Government System as given in Section 46 of the Local Governments Act are as follows:

- The Administrative Units in the rural areas; County, Parish and village
- The Administrative Units in urban areas; Parish/Ward and Village

The composition of Administrative Councils is follows:

- At County level, a Council consists of all the members of the Sub –County Executive Committees in the County;
- At Parish level, all the members of the Village Executive Committees in the Parish;
- At the village level, all persons of eighteen years of age and above residing in that village

See Section 48 of the Local Government Act 1997, for composition of the Executive Committees for the Administrative Councils.

Administrative Units largely have administrative roles, as provided in Section 49 of the Local Governments Act, 1997. The administrative units have the power to draw attention to the higher authorities to any matters of their interest. The County Administrative Unit may advise the area Members of Parliament on all issues pertaining to the County. Other functions of the Administrative Units include; resolving problems or disputes at that level, monitoring delivery of services and assisting in the maintenance of law, order and security.

## **2. Elected leaders**

Elected leaders in Local Governments are Councillors who are representatives of the people in their electoral areas, they are people's voices in their councils, and they are watchdogs as well as overseers of their electoral areas. The duties of Councilors are spelt out in schedule 111, Regulation 8 of the Local Governments Act, 1997, They include:

- Maintaining close contact with the electoral area and consulting the people on issues to be discussed in the Council;
- Presenting peoples' views, opinions and proposals to the Council; Councilors do not only present their own opinions but also what the electorate is saying.
- Attend Council sessions and committee meetings; As policy makers, the policies are made in these Council meetings.
- Meeting the people in the electoral area regularly;

- Reporting to the electorate on the decisions of the Council and the actions taken to solve problems raised by the residents in the electoral area for purposes of political accountability and transparency;
- Taking part in communal and development activities in their electoral area and district as a whole.

### **3. Appointed leaders**

There are two categories of appointed leaders in the Local Governments:

- Civil servants who are appointed by the District Service Commission on behalf of Council;

#### **The District service Commission;**

Section 56 of the Local Government Act, 1997 provides for a District Service Commission that has powers to appoint persons to hold or act in the service of a District or Urban Council including powers to confirm appointments, to exercise disciplinary action or to remove them. The implication of this is that the staff of the respective Local Governments are fully accountable to the Councils through their Chief Executives. Each District is mandated to have one service commission-Section 55(1) of the Local Government Act, 1997. It offers services to all the Local Governments under its jurisdiction. In Section 55(2) of the Local Governments Act, 1997 District Councils on recommendation of the District Executive Committee appoints the District Service Commission. The Commission is composed of a Chairperson and a number of members as the District Council may determine (Section 55 Local Government Act, 1997). At least one of the members should represent the Urban Councils located in the District. The District Council shall ensure that at least one third (1/3) of the members of the Commission are women and one member should be a person with disability.

Members of the District Service Commission hold office for a period of four years and are eligible for appointment for one more term. Members of the DSC are expected to be persons of high moral character, proven integrity, residents in the district, have a clean track record, seasoned, experienced and capable of taking decisions independently without influence. Members of DSC are paid salaries, allowances and other expenses from the consolidated fund.

- Members of Commissions and Boards appointed directly by Council.
- Local Government Tender Boards; these were established by Section 92(1) of the Local Governments Act, 1997 and Section 35(1) of the LGA (Amendments), 2001
- Local Governments Public Accounts committees established by Section 89(1) of the LGA

The Chief Administrative Officer heads the civil service in a District and the Town Clerk, Sub-County Chief / Assistant Town Clerk heads the lower level Local Governments.(Urban and Rural)

## **Handout to Session Two: Definition and Types of Public/Private Partnerships**

### **Definition of Public Private Partnerships**

Public private partnerships are arrangements between the Government and the private sector for the purpose of providing public infrastructure, community facilities and services in general. The tri-sector partnerships include the private and public sector as well as the Civil Society Organisations. Partners share investment, risk, and reward between or among themselves.

They can also be looked at as contractual agreements between a public agency-local government and a profit organisation or non-profit organisation (CSO). In the former case the CSOs are still partners indirectly because they monitor on behalf of the public to ensure that peoples interests are taken care of. The agreement enables them to share their assets, to deliver services or facilities. The partners share risks as well as rewards.

### **Types of Public-Private Partnerships**

Public Private Partnerships vary depending on a number of factors like the allocation of risks between partners, which in turn affects the rewards, investment, and responsibilities expected from it.

In order for partnerships to succeed it must be a real partnership with shared burdens and shared rewards for all the partners involved. There must be incentives for the non-state actors and red tape must be controlled because it affects partnerships negatively.

While the private sector can be involved in any type of partnerships with the local government, CSOs cannot get involved in production of goods or their supply but can be very useful in service provision. Below are some of the partnerships that can be entered into by the public and the private sectors:

#### **1. Operations and Maintenance**

This is where the local government contracts with a private sector partner to operate and maintain a publicly owned facility. This could be in areas like water and wastewater treatment plants, solid waste removal, and road maintenance, maintenance of parks and landscapes as well as recreation facilities.

Advantages:

- There is likely to be improvements in the quality of service as well as better efficiency

- Savings because of reduced costs
- The is flexibility in structuring of the contracts
- Local government can have access to the experience from the private sector

Shortcomings:

- Reduction in the control that the real owner has and lower ability to respond to changing public demands
- The costs of re-entry can be high should the contractor default

## **2. Design- Build**

Here the local government contracts with a private sector partner to design and build a facility that conforms to the standards and performance requirements of the local government and once the facility has been built, the local government takes ownership and becomes responsible for the operation of the facility. This type of partnership is applicable to most infrastructure facilities like water and wastewater treatment plants, solid waste removal, and road maintenance, maintenance of parks and landscapes as well as recreation centres.

Advantages:

1. Experience from the private sector can be valuable
2. It presents opportunities for generation of new ideas and reduction in costs
3. Flexibility in procurement
4. Improved efficiency in construction
5. Reduction in construction time
6. Sharing of risks

Disadvantages:

- The control of the real owner is reduced
- Desire to include new design features or to change the contract in any way after it has been ratified becomes very expensive
- In the process of avoiding loop holes in the contract it becomes too complicated
- Although capital costs seem very low the whole venture may become very expensive if not well managed because the cost of operation and maintenance may be high.

### **Turn Key Operation**

The local Government provides the financing while private sector designs constructs and operates the facility for a specified period of time. The public partner/Local Government retains ownership of the facility. This type of partnership is recommended where the local government still desire to maintain ownership or at least a high degree of control. The facilities may include the examples mentioned above in 1 and 2 as well as government buildings.

### **Wrap Around Addition**

This is where the private contractor finances and constructs an addition to an existing public facility. The private partner may then operate the addition to the facility for a specified period of time until after the agreed return on investment has been recouped. This may include both the costs of construction plus a reasonable profit.

### **Lease-Develop-Operate or Buy-Develop-Operate**

The private partner buys or leases a facility from the local government and modernises or expands it and then is allowed to operate it under a contractual agreement with the local government. The time period for recovery of the costs of investment and the profit is clearly spelt out. This type of arrangement is also applicable to the same examples of facilities as above.

### **Build Transfer-Operate**

The local government contracts with a local partner to finance and build a facility and when the facility is ready its ownership is transferred to the local government. The local government then leases the facility to the contractor on a long term basis for the contractor to recoup their costs.

### **Lease Purchase**

The local government contracts with the private partner to design finance and build a facility to provide a public service. The private partner then leases the facility to the Local Government for a specified period of time after which the facility reverts to the local government. This approach can be taken where finances for a given facility.

### **Temporary Privatisation**

This is where ownership of an existing public facility is transferred to a private partner who improves and/or expands the facility. The facility is then put into the hands/ ownership of and operated by the private partner for a specified period of time for them to recover their funds.

### **Build-Own- Operate-Transfer**

The private partner gets a franchise/permission to finance, build and operate as well as manage, maintain and collect user fees for a given period of time. This enables the community to access a service or facility without the local government worrying about how to raise the funds which it may not get.

### **Build-Own-Operate**

Here the local Government may transfer ownership and responsibility for an existing facility or contracts with a private partner to build, own and operate a new facility for good. The financing is provided by the private sector.

### **Key Questions about Public-Private Partnerships**

1. Are public-private partnerships the same as privatisation?

Public-private partnerships substitute privatisation because it is seen as merely transforming entities from public to private monopolies under privatisation. On the contrary, public private partnerships encourage competition among the different players.

2. Does the local government lose control when into a partnership?

Local governments do not abdicate their responsibility to set and implement policies and regulations. Local governments also set the ground rules and remain responsible for quality assurance.

## **Handout to Session Three: Roles of Local Governments, CSOs, and the Private Sector in Public/Private Partnerships**

For each of the sectors in the partnership there are roles that can be played given the nature of organisations in order for the synergies to be realised. It has been reiterated that partnerships can fail if they are not based on core complementary competencies. Core competencies are specialties that a sector or organisation can do better than the others or where it has better advantages. The advantages may take the form of expertise, better staff or investments.

### **Local Government**

Local governments have a role to play in providing an enabling environment, supervision and monitoring and evaluation.

### **Civil Society Organisations**

Civil Society Organisations may be defined as co-ordinated groups of people identified by a shared interest or purpose that are neither business enterprises nor the public sector or government. They include: NGOs, Community based organisations (CBOs), religious organisations, pressure groups, cooperative societies and unions, etc.

The partnerships are intended to put communities at the centre of their own development. Their activities may range from service delivery engagement to broader advocacy. Partnering gives CSOs an opportunity to ensure that community participation happens and that communities are empowered. It is also important to remember that public private partnerships cannot succeed without the support of the end user of the service or the agreement of those who will ultimately deliver the service. The role of civil society organisations therefore is critical whether they are directly involved in the provision of the service or as observers in a partnership between the private and public sectors. Here are some of the activities:

- Information gathering
- Community consultation and facilitation of dialogue
- Monitoring and evaluation of partnerships and projects
- Lobbying of partners and ensuring accountability to communities
- Coordination of community groups
- Providing training and other capacity building initiatives



- Managing aspects of the projects or partnerships
- Service provision

### **Issues affecting CSOs in Partnerships**

CSOs need to be clear on their role in relation to government and the private sector, and engage local governments with a firm commitment to their core values, which inform the way the work is executed.

### **The Private Sector**

Benefits for the private sector from partnerships may include the following:

- Access to capital
- Profitability
- Cost saving efficiency
- Increased access to external resources
- Strengthened relations with suppliers
- Market development
- Increased competitive advantage
- Increased awareness of the customer base
- Better access to market information
- Policy influence and advocacy
- More effective social investment and community affairs
- Establishment of communication channels and networks
- Operational effectiveness and efficiency
- Licence to operate
- Environmental and social impact mitigation
- Acquisition of more know how
- Risk management
- Legal compliance
- Strategic development and organisational learning
- Innovation- new ideas
- Growing human capital

- Better staff security

Although the primary concern of the private sector partners is profit making, there is a call for corporate responsibility on all private organisations- making a contribution to the welfare or development of society. Many big companies for example make donations to charitable causes. Private partners should also exercise a high degree of ethics and integrity.

### **Case Study**

#### **Busiku Sub-County**

Mr Kagere has been working as a Sub-County Chief for more than 15 years. However, with the implementation of the Government's decentralisation policy, things have not gone very well:

- The Sub-County has failed to produce the required quality of the three-year Development Plan as is required by law and is even unlikely to meet the minimum conditions in order to qualify for LGDP funding again;
- A number of contractors doing work for the Sub-County have not been fully paid for their services;
- The responsibilities of the Sub-County have increased;
- Most taxpayers have defaulted;
- The extension staff that had been posted by to the Sub-County have transferred their services to the nearby Sub-counties.

Mr Kagere is worried about his performance. The auditors have been criticising the quality of the Sub-County's books of accounts. Even the LCIII Chairman is blaming him and telling people that he is a failure who has failed to run the Local Government and proposing that that someone from the Sub county who understands it very well should be posted there. He is not sure whether he, too, should go back and work in his home District.

#### **Questions:**

1. What problems / challenges associated with decentralisation are depicted in this Case Study?
2. What roles can the private sector and civil society organisations play to improve the quality of service delivery?

## **Handout to Session Four: Management of Public/Private Partnerships**

The major reason for entering into partnerships is that, given their unique features and advantages in specific areas of service delivery or project implementation, the three sectors- CSOs, private, and public- complement each other. Local governments remain responsible and accountable for delivering services and projects in a way that protects and furthers the public interest..

Local governments need to put in place the necessary institutional and legal framework, e.g. Policies, regulations, standards and procedures- in addition to the resources and personnel. Responsibility centres should also be established. It is the responsibility of the local government to ensure that the right conditions are put in place to facilitate the involvement of the other sectors. Where necessary new procedures should be put in place. Below is a possible process of entering into and managing the partnership:

1. Assess the different service delivery options for the different projects or services. They should be evaluated to determine if they are better suited for public private partnerships.
2. Prepare for the delivery through partnerships. This involves determining the strategy, the type of partnership, as well as the management team.
3. Selecting a partner- through the appropriate tendering process a partner is selected, before the actual implementation starts.
4. Negotiation and contracting. The local government enters into contract with the agreed partner. Caution is needed in regard to the content of the contract as it is what determines the nature of product that the local government gets. The forms of resolutions of conflict should also be agreed upon in the contract to avoid complete breakdown.
5. Monitoring of the contract. The agreed benchmarks or indicators are used to monitor the progress of the project. In addition to the periodic reports from the contractor, periodic reviews and audits should be carried out by the authorised agencies. With the help of civil society organisation, the public can also monitor and lodge complaints with the authorities.

In order to ensure a successful transition, a carefully drawn plan is necessary. There should also be sufficient time for the changes to take effect. The roles and responsibilities of all those involved should be clearly drawn and agreed upon. All the stakeholders should be informed in a way that best minimises damage. All the staff that is to be transferred to the new partner need to be trained as well as the new staff and they should be enabled with sufficient time to adjust to the new arrangement.

### **Skills required for managing public private partnerships**

- Specialised skills in public private partnerships
- Management skills
- Public finance
- Private finance
- Communications and public relations
- Accounting
- Contract law
- Taxation
- Engineering
- Asset valuation
- Quantity surveying
- Marketing and market analysis, etc.

### **Case Study**

#### **Wagadugu District Council Rehabilitation Of Health Centre**

##### **Project Status Report Extract**

In Wagadugu District Council, there were a certain group of about four outspoken, good lobbyists and eloquent presenters who always sway council opinion in deliberations. In March 2001, they launched a struggle during the planning stage of 2001/2002 for rehabilitation of four health centres. The basis of the motion is that the asbestos roofing sheets on those health centres are health hazards and that those health centres needed face lifts to reflect well on the image of the entire council members as they shall be going for re-election campaign early 2002. This sounded very well and the proposal was adopted.

The design, Bills of Quantities preparation and tendering was pushed and done very fast and tender were awarded to four firms on a condition that they need to start the work urgently and proceed quickly. In turn, the four contractors pushed for advance payment of up to 45%

urgently to enable them proceed appropriately. This was granted and the money paid in cash as the contract was being processed.

The contractors then moved on site and started work. Ranging between 50% - 65% of the time for the project elapsed while the works in the various sites done were ranging between 10% - 25%. The contractors were asking for more money from the council to enable them proceed and finish their contract. It also emerged that during the construction execution, each time the district engineer and supervisors tried to enforce quality delivery and ensuring value for money, the contractors would complain to the political leadership that they are being frustrated by the district staff. Several meetings were called under the chairmanship of Chief Administration Officer and Chairman, Wagadugu District Council LCV, to iron out the progress of work to no meaningful success.

**Questions:**

1. What was the main source of problems with the health centre's project and how could it been avoided.
2. What are the roles of the three sectors (Civil Society Organisations, Private Sector and Local Governments) in ensuring successful partnerships .

## Handout to Session Five: Advocacy and Lobbying

### CASE STUDY 2: TARGETING THE INNER PASTORAL COMMUNITY

Imagine that you are working in a CSO operating in the Sahel Zone. The Sahel is inhabited by nomadic pastoralists. With the recent advent of strict territorial rules, nomads have to move more cautiously and very far from human settlements here they might be forced to settle. This has a negative impact on the livelihoods of the nomads who find themselves unable to produce enough to sustain the family. The nomads, including women and children have to survive with minimal supplies and food. Life has become hard and risky. As a CSO, you witness increasing suffering, deaths and hopelessness.

#### *Questions:*

- What advocacy techniques would you use for this situation?
- Are there similar or related cases in Uganda in the context of human rights, provisions and service delivery?
- How would you persuade Local Governments to attend to the situation?

### 1. Definition of advocacy

Advocacy, in general terms, can be defined as the act of speaking or of disseminating information intended to influence individual behaviour or opinion, corporate conduct, or public policy and law or decision-makers. Advocacy often occurs in the context of activities intended to educate and inform, while at other times it could be described as a political activity. There is a widely shared view that the act of advocacy, as a form of free speech, is an essential part of democracy. The purpose of advocacy is, therefore, to influence decision-makers to design, adopt or change policies and practices.

### 2. Why advocate?

- To change laws or policies on specific issues;
- To influence the attitudes of decision-makers about certain problems or issues. Changing attitudes is a more sustainable way of securing ongoing change in the direction defined by the change of attitudes;
- To gain support for social changes at official level;
- To draw attention to important issues in society and have them on the social and political agenda for change;

- To raise awareness and citizen participation in decision-making.

### **3. Importance of advocacy**

- It can change the actions of decision-makers and other people with power;
- It can fill an institutional gap as poor people are often not very well organised to effectively articulate their interest or ideas;
- It plays an important role in overcoming a spatial gap as well as language barrier, which usually separates the poor from the locations and the institutions or people making decisions over them;
- It improves the self-respect of poor or local communities and their self-confidence. Advocacy entails a fight against cynicism and despair to which powerless communities can tend to fall victim in the face of corruption, intimidation and other massive obstacles impairing them to improve their lot.

### **4. Twelve Advocacy / Lobbying Strategies**

There is need analyse the advantages and disadvantages of each of the following strategies. Better still, they could conduct a more systematic Strengths, Weaknesses, Opportunities and Threats (SWOT method) to each approach. Some strategies may be suitable for an issue where the other strategies may not be. In fact, a mix of approaches may be necessary, and may require bringing aboard a different range of actors or interested parties.

#### **a. Co-optation approach**

This strategy attempts to penetrate the state or target structure for direct influence (this might also be referred to as finding cracks and occupying them):

- The target (e.g. Government officials) could be included in the CSO activity as patrons, board or ordinary membership);
- Each party appointing the other on task forces, evaluations, project activities, etc.;
- Direct contracting of work to either party;
- Formation of CSOs in some political areas or constituencies.

This approach assumes a good relationship between the CSO and the target or state, and therefore it is a silent method (not “loud mouth” approach). The advantage of this method lies more on changing attitudes (and therefore approaches) to issues.

This is fairly sustainable way of securing change in the long term. It has the disadvantage of narrowing the base of discussion i.e. it does not bring issues out in the open and therefore inhibits mass discussion or debate. The method relies on silent bargaining, which may not necessarily be suitable and may result in less pressure and therefore slow pace of change.

**b. Complimentary or collaboration approach**

Here the CSO undertakes work that is supposed to be undertaken by the appropriate authority or Government organ. This is generally referred to as filling the gap. This process then influences the state or official organ to undertake the activity in the long term.

**c. The empowerment approach**

More important in this strategy is to provide information to the people the CSO is working with, or to society as a whole. As it is sometimes said, "Information is power". The people can then use the information to question and seek answers from the state officials, Member of Parliament, Media, etc. on specific issues. This approach prepares the ground for a more conscious and broad-based involvement of people in influencing attitudes or Government policies. This approach is the most sustainable in the long term, as it creates a broader base for lobby and advocacy.

In order to achieve this approach, there is a need for a professional approach to the issues. They must be well researched and analysed so that the people are given the real and true information (facts and figures) on the basis of which they are able to engage policy-makers.

**d. Opposition**

Here, the strategy is to criticise Government or agencies systematically and continuously in media, demonstrations, and at political or community platforms. Demonstrations may be included here. Currently demonstrations are seen as the domain of students, party youth, and other such as strikes by the labour force.

Given a particular set of circumstances, this strategy could be quite effective as shown by some experiences on the continent; where Governments have had to rescind decisions because people have demonstrated or marched to oppose a given legislation.



If a demonstration is planned, the messages on the banners must be specific and contain demands. Furthermore, it should not simply be a march through town; it should be addressed to a specific target; march towards something, towards a target.

**e. A series of systematic and organised meetings with decision-makers**

These visits must be prepared well, with documents and information that is well researched. The meetings should be evaluated and a new strategy or approach instituted.

**f. Written proposals to decision-makers**

Here, you might provide a written proposal for discussion with the decision-makers. This approach could be most effective, especially if combined with the meetings mentioned above.

It is important to note that this strategy is also useful when reacting to a new law or legislation. The strategy is therefore useful for both a reactive and proactive mode of lobby and advocacy.

**g. Public meetings (in a community)**

This strategy can secure the following:

- It can attract the attention of the Press and publicise the issue;
- It can invite people who have no position on the issue to take a position;
- It secures that the issue is discussed and debated openly and publicly;
- It can secure involvement of local citizens in your cause and gives them concrete way of participating and sharing your views.

**h. Other open forum**

These might include stickers, posters, or anything to attract public attention to the issue. Seminars and workshops may be included here, although they have the weakness of small coverage.

**i. Closed forum**

These may include entry into closed forum such as:

- Parliamentary Chambers;
- Lobbying parliamentarians through provision of information and discussion;
- Inter-personal two-way lobby and advocacy.

**j. Letter-writing**

Many people could sign the letter. The letter can be empowering to those who will have signed it and enables them to stand up for the issue. This is what is sometimes called petition but does not necessarily need to be so. The letter could state the existing position and request for the authority or organisation to make specific considerations. The content of the letter must be specific on issues that the authority could make a decision.

**k. Publications**

This could be the wide distribution of small pamphlets, written in accessible language so that people themselves can engage in the debate and influence the power structure at different levels.

It should be emphasised here that these publications need to be glossy or printed on expensive paper. The written word is not dependent on the type of media. This is why graffiti (painted messages on building walls or bill boards are taken seriously by many people because they are read by many people. (Note that graffiti is western method based on art but who knows, it might be useful depending on the issue.)

**l. Use the media for press releases and opinion polls**

Issue press releases to make clear what your demands are. This should be relatively short and very clear. It should be handed to the Press, who should publish it the way it is written. The CSO may sometimes have to pay to get a press release published.

Undertake public opinion polls (ask people in the streets about the issue) and publicise the results in the media. This is an effective and fairly neutral way, as you will simply be reporting what people's feelings about issues are. It may also be possible to have consistent and ongoing features in the newspaper (e.g. Sunday papers, where people have the time to read long articles).

**Information gathering, packaging and disseminating**

Information must be:

- Factual;
- Researched;
- Well-articulated.

Provide linkage and communication

- Assist with recognition and formalisation of arrangements with the Districts;
- Assist in network building and coalitions for advocacy;

- Define with more precision an appropriate advocacy agenda;
- Provide a platform for advocacy;
- Strengthen advocacy strategies and channels through financial and technical support;
- Negotiate with bigger powers and with the Local Governments;
- Disseminate advocacy results.

## **Advocacy Techniques In Various Settings**

### **1. Advocacy techniques**

Advocacy techniques include:

- Lobbying;
- Documentation;
- Information sharing;
- Interpreting laws and regulations;
- Identifying institutional linkages between the CSOs and Government (i.e. Government departments, the Directorate of Community Services, RDC's office, LCs).

#### **1.1 Lobbying other people in positions of influence.** It means:

- Giving information;
- Creating understanding;
- Lobbying is the informal approach where an individual / CSO tries to influence decision makers and putting forward alternatives;
- Expressing support for a position;
- Approaching the target person before decisions are taken.

Approaching a person in an informal way, as a complementary activity to other activities in an advocacy campaign, is a useful tool in advocacy.

#### **1.2 Documentation**

In view of the importance of information in advocacy work, the CSOs should work to develop a culture of documenting and disseminating information (to their areas of jurisdiction).

## **The 11 Steps For Building An Advocacy Campaign**

- Defining goals and objective.
- Defining and understanding the target audience.
- Using research to tailor the message to audience.
- Framing the issue.
- Developing the issue.
- Developing press lines.
- Choosing the appropriate medium to disseminate the message.
- Developing quality materials and the correct media tools (news, releases, news conferences).
- Choosing and training appropriate issue-specific spokespersons within the NGO.
- Coalition building and networking with allies.
- Evaluation.

## **Importance Of Information In Public Advocacy**

Information is needed:

- To take a stand on any issue;
- To gain clarity on an issue;
- For issue framing and understanding;
- To mobilise people;
- To gain legal information to expose loopholes in laws and policies;
- To increase the accountability and responsibility of Government officials
- To know our rights.

Types of information required:

- Legal information (laws, policies);
- Subject information;
- Who are the main people, the actors;
- Power structures;

- Proponents, sympathisers, and opponents, fence-sitters;
- Analysis of coalitions and networks;
- Media analysis;
- Legislative advocacy analysis;
- Bureaucracy analysis;
- Academic debates.

Strategic planning for advocacy is a disciplined effort to produce fundamental decisions and actions that shape and guide what a campaign is what it does, and why it does, with a focus on the future.

### **Key Questions To Consider In Developing An Advocacy Strategy**

One area of confusion in the development of advocacy strategy is the difference between “strategy” and “tactics”. Tactics are specific actions, circulating petitions, writing letters, staging protests, which are the building blocks of advocacy. Strategy is something larger, an overall map that guides the use of these tools toward a clear goal. Strategy is a hard-nosed assessment of where you are, where you want to go, and how you can get there. At its heart, effective strategy is rooted in nine key questions:

#### **Looking Outward**

##### **1. What do you want? (Strategic objectives)**

Any advocacy effort must begin with a sense of its goals. Among these goals some distinctions are important. What are long-term goals and what are short-term goals? What are the content goals (policy change) and what are the process goals (building community among participants)? These goals need to be defined at the start, in a way that can launch an effort, draw people to it, and sustain it over time.

##### **2. Who can deliver it? (Identifying key audiences)**

Who are the people and institutions you need to move? This includes those who have the actual formal authority to deliver the goods (i.e. legislators). This also includes those who have the capacity to influence those with formal authority (i.e. the media and key constituencies, both allied and opposed). In both cases, an effective advocacy effort

requires a clear sense of who these audiences are and what access or pressure points are available to move them.

### **3. What do they need to hear? (Message development)**

Reaching different audiences requires crafting and framing a set of messages that will be persuasive. Although these messages must always be rooted in the same basic truth, they also need to be tailored differently to different audiences depending on what they are ready to hear. In most cases, advocacy messages will have two basic components: an appeal to what is right, and an appeal to the audience's self-interest.

### **4. Who do they need to hear it from? (Picking messengers)**

The same message has a very different impact depending on who communicates it. Who the most credible messengers for different audiences? In some cases, these messengers are "experts" whose credibility is largely technical. In other cases, we need to engage the "authentic voices" that can speak from personal experience. What do we need to do to equip these messengers, both in terms of information and to increase their comfort level as advocates?

### **5. How can we get them to hear it? (Means of delivery)**

There is a wide range of ways to deliver an advocacy message. These range from the genteel (lobbying) to the in-your-face (direct action). Which means is most effective varies from situation to situation. The key is to evaluate them and apply them appropriately, having them together in a winning mix.

## **Looking Inward**

### **1. What have we got? (Resources)**

An effective advocacy effort takes careful stock of the advocacy resources that are already there to build on. This includes past advocacy work that is related, alliances already in place, staff and other capacity, information and political intelligence. In short, you do not start from scratch, you start from building on what you have already got.

**2. What do we need to develop? (Gaps)**

After taking stock of the advocacy resources, your next step is to identify the advocacy resources you need that are not there yet. This means looking at alliances that need to be built, and capacities such as outreach, media, and research, which are crucial to any effort.

**3. How do we begin? (First efforts)**

What would be an effective way to begin to move the strategy forward? What are some essential short-term goals or projects that would bring the right people together, symbolise the larger work ahead and create something achievable that lays the groundwork for the next step?

**4. How do we tell if it's working? (Evaluation)**

As with any long journey, the course needs to be checked along the way. Strategy needs to be evaluated, revisiting each of the questions above. Are we aimed at the right audiences, are we reaching them? It is important to be able to make mid-course corrections and to discard those elements of strategy that do not work, even if you are already half-way through your campaign.

## **Handout for Session Six: Research Skills and Market Research**

Market research is the planning, collection, and analysis followed by communication market related information to facilitate management in the making of decisions. This in turn enables the organisation to plan for the future and to lay strategies that are realistic and workable. It is advisable that market research be carried out in the start up phase and this will enable the organisation to determine whether the idea or project is feasible or not.

Without market research it is not possible to identify specific segments of the market and create an environment for the product or service and develop the unique qualities of the product.

Market research can be carried out as primary research or as specific research. The timing of the research is very important in determining the usefulness of the results. Sometimes it is not necessary to carry out research at all especially when the time for making the decision is too short, when the information required already exists or when the purpose of the study is not clear.

- A market research is necessary where any or all of the following conditions exists.
- When the information needed for decision-making is not available
- When there is need to choose from among alternatives
- When there is a conflict in the organisation about which direction to take
- When problems are detected from the customers
- When the purpose and need for the study is clear.

### **Primary Research**

This is when one is either doing and open ended or unstructured interviews with a small group soliciting for long and comprehensive responses. It is also referred to as exploratory research.

### **Specific Research**

This is when one tries to solve problems identified during the exploratory research. It is more detailed and more scientific.



The following questions can also be useful in the case of a single organisation. This is applicable in the case of local government trying to vet potential partners or in the case of competing organisations:

- Is the company successful? How much has it earned in a given period?
- Is the company reputable? Has the company been under investigation or had any lawsuits with any government individuals or agencies?
- Is the company charitable/which organisations does it support?
- What opportunities does the company offer-internships, scholarships etc.

### **Steps in the Research Process**

There is great need for understanding of the research objectives, developing a research plan, implementing the research report. It has been found that the better the quality of the report-one with highly practicable results the more likely it will be used to make sound decisions.

#### **Pre-research planning**

Clearly define the research objective. This can be best on the nature of management decisions expected to result from the results of the research.

#### **Technical specifications**

Set measurable objectives that relate to the specific objective. Specify the methodology, sampling procedures, and determine the type of analysis.

#### **Questionnaire development**

The questionnaire design should be based on the objectives. It should be pretested to see if it was properly understood.

#### **Data Collection**

All surveys should be thorough to ensure that they are complete. The data should be coded.

#### **Data processing**

Data should be entered and verified before being analysed and interpreted.

## **Reporting**

After analysis a report is written and make recommendations based on the research findings. There is also need for follow up to ensure that recommendations were implemented.

## **Sources of Information**

1. Publications- magazines and newspapers
2. The actual competitors
3. Potential consumers
4. Government Departments
5. Trade Associations
6. Business publications
7. The media
8. The Chamber of Commerce
9. Observation
10. Training institutions

## **Handout to Session Seven: Monitoring and Evaluation**

### **1.0 Introduction**

Monitoring and Evaluation (M&E) is the management tool which help the implementing agency of any program to check whether the implementation is on course and where necessary prescribe appropriate adjustments. It helps to ensure that there is feedback basically from all the stakeholders.

#### **1.1 Rationale of M&E**

The reason why M&E has to be carried out is basically to ensure that whatever was planned is being carried out as per plan. Thus it goes a long way in ensuring that resources are put to proper use and where applicable cause review of strategies and implementation methods. In other wards M&E are carried for purposes of: -

- Ensuring that everything is on course
- Ensuring value for money
- Reviewing progress
- Justifying further actions
- Soliciting for support
- Complementing a management cycle of programs/projects

### **2.0 The Process of Identifying Performance Indicators**

- Present the concept of performance indicators:

Explain the need for indicators so that the District/Sub-county/Parish community can assess the effects of the project or programme and determine whether things are getting better or worse.

- Identify indicators

Ask each group to prepare a table of indicators, listing the problems, causes, and actions. Then for each problem, cause an action, ask the group to put in the table:

What would change?

What would be an indicator of that changes (something they can observe and measure)?

Who has the information needed for the indicator?

Where is the information located?

Who can collect it and how?

Who will record the information?

How often should it be recorded, in order for the villagers to know how things are going and monitor progress?

Where should the information be recorded and kept?

- Determine who does what and when with indicators

Go back to the chart and record the following:

The indicators;

Who will collect the information on each indicator;

Who will record it;

When it will be recorded;

Where the information will be recorded and kept.

Ensure there is agreement and understanding.

- Agreeing on Implementation
  - Establish responsibilities for stake holder's implementation
- Ask the stakeholders to review who is going to take responsibility for implementation of the actions. It may be that the stakeholders want some of the existing community-based organisations or agree to take overall responsibility, or to set up a new committee or entity to do this. Or they may want different bodies to be responsible for different parts of the plan. The Harmonised Participatory planning Guide for Lower Local Governments (Refer to P.21 of the Parish/Ward Guide) states that Local Councillors together with other stakeholders

should monitor progress of programme implementation and advise the implementing committees.

**Section 18 (b&c) of the Local Governments Act mandates the Executive Committee of the Local Government to monitor implementation of projects and programmes and take remedial action where necessary, in addition to co-ordinating the activities of NGOs.**

All other stakeholders, however, including the community can carry out monitoring directly or through their representatives-the Project Management Committees (PMCs).

Start by going back to the ideas generated by the discussion of institutions during the assessment, and by the discussion of who is responsible for looking after the documents. Build on the decisions made about who does what and when, to analyse the capacity for taking responsibility. Deciding on responsible institutions in this manner ensures a sound basis for collective responsibility and should take some of the politics out of assigning “powers”. If several points of responsibility are identified and if funds need to be channelled to any of them, this channelling should be the responsibility of the local government.

- Review and finalise the action plan

Ensure that the stakeholders programs, actions, indicators, responsibilities and timing are clearly recorded. Review and confirm the entire action plan with the stakeholder. Everyone should be in agreement. If there are disagreements, try to resolve them. Any disagreements that cannot be resolved must be noted formally. At this point the workshop can be closed.

- The stakeholders are responsible for their actions. Emphasise that the plan is now ready for the stakeholders to implement. Decisions have been made about who is to do what and when. It remains for the stakeholder to carry out what they have decided.
- The local authorities are responsible for their actions. Assure the stakeholder that you will do your best to ensure that actions have been agreed upon to be undertaken by outsiders are carried out as planned.

The top priority project need not be written up, as this would delay implementation. Let the stakeholder know if any money is available for start-up.

### **3.0 Conclusion**

M&E is a vital management tool, which has to be carried out for ensuring value for money, and effective feedback on projects and programmes at all levels. Hence, every level must internalise and ensure its implementation as well.

## Handout to Session Eight: Communication Skills

### Definition

Communication is the process of sharing information, ideas and feelings; it is the exchange of information, ideas or feelings from one person to another.

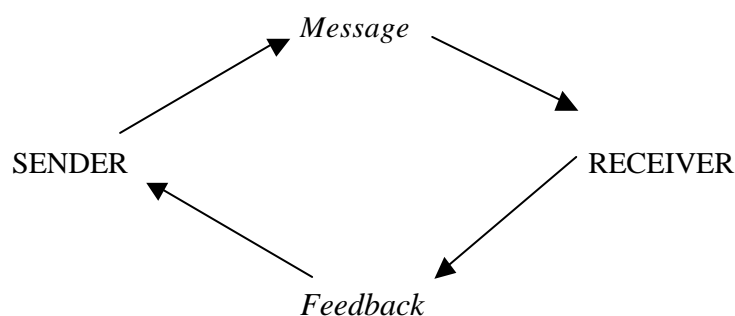
### Importance of communication

Communication has been described as the lifeblood of any organisation. For any organisation to survive effectively, information must be available to those who need it in a timely fashion. Information is the basis upon which day-to-day decisions about organisational issues are made. Without correct information, wrong decisions may result.

Communication in the local government should therefore be looked as the process of passing the necessary information from the person who has it to the one who needs it (both internally within the local government and externally with other stakeholders).

To be effective, there must be a common understanding of the message by both the sender and the receiver. Communication is made easy if the modes and channels used are in conformity with what the two parties (sender and receiver) are comfortable with. The communication process involves the sending of the information, the delivery of the message, the receipt of the information by the correct recipient and the feeding back to the sender.

### 3. Communication Model



Effective communication is a two way process of passing messages from the source to the receiver, using various channels. It involves development of clear messages, passing it through appropriate channels at the right time and to the right receiver, and getting feedback

from the receiver. It is the responsibility of the sender of the information to request the receiver to acknowledge receipt and to express their understanding of the information sent.

### **The communication process**

The communication process involves:

- The packaging of the message to be communicated;
- The person sending the message;
- The person receiving the message;
- The channel of communication;
- The feedback mechanism.

Feedback is an important component in the communication process. Through feedback it can be assessed that the message sent has been effective and will result in the intended action.

### **Communication lines in local governments**

Communication in Local Governments follows lines of authority (following the organisation structure and reporting lines).

- *Downward flow:* This is normally from senior officers to their subordinates. Through this flow, management decisions and directives are communicated to lower levels for implementation.
- *Upward flow:* This is flow of information from the lowest level to the highest level of the Local Government. Through this flow, information moves from lower to higher levels in the form of progress reports, suggestions. For example, a junior officer communicating to the CAO must pass the memo through his or her immediate supervisor.
- *Horizontal flow:* This is communication that takes place laterally, between persons at the same level in the Local Government, e.g. between two heads of department.

### **Common types of communication:**

- *Written communication:* This is the most common form of official communication in local governments. The official language is English. All official letters from outside are supposed to be addressed to the Accounting Officer (CAO / Sub-County Chief). At the District level, all letters are received through the Registry. It is then the responsibility of the Records staff to file the letter and route it to the appropriate



officer for action. In situations where the Records staff is not sure, they should forward the letter to the CAO who, in turn, will delegate any other officer to take action. Sometimes the letter may be erroneously sent to the wrong person. To avoid this, some people still address letters to the CAO but mark it for the attention of a particular officer. This process may cause delays as letters may take long in the Registry due to a number of reasons, including the keeping of files for long by officers; yet, registry staff are not supposed to take letters for action before filing.

Written communication used internally within the Local Government is in the form of memos, commonly referred to as “loose minutes”. As the name suggests, these are taken to the concerned officers in a loose paper form (not filed). Loose minutes are used for such communication as making requisitions, reporting on progress in implementation of activities, etc.

Advantages of Written Communication	Limitations of Written Communication
Original meaning is maintained – not easily distorted	Can only be used with people who can read and write and, in the conduct of official business, those who can read and write in English
Can be repeatedly referred to: the receiver of written communication can go over the message again and again until he/she is convinced that he/she has understood it	It is time consuming: a letter may take about one week to reach its destination, making written communication unsuitable in an emergency situation
It is a permanent record that can also be used as a legal document. This explains why some officials insist that even if some messages have been transmitted orally, they should later be put in writing	Quick clarification is not possible: in case the receiver of a written message has certain questions about the message, s/he has to write back and wait for a reply
Can be detailed and accurate. Written communication is usually formulated with care	
It has a potential for wide distribution if the postal system is good and the communicator and receivers are far removed from each other	

- *Oral communication:* This includes face-to-face conversation, conversation over telephones, radio messages, meetings.

Advantages of Oral Communication	Limitations of Oral Communication
It is quick and cheap (especially for people working within the same offices). Where immediate action is required, it is best to transmit the message orally. This can be done by going to the person and talking to him / her, by telephoning, or through a radio announcement	Oral communication is not possible when the communicator and the receiver are far removed from each other and no mechanical device is available to connect them
Does not require literacy or sight	It is easily distorted
Feedback can be immediate; the sender can easily find out whether message has been properly understood and the receiver can ask for clarification	Oral messages cannot be retained for a long time and cannot be stored for reference (unless it is taped and made into a permanent record)
It can reach many people at the same time, e.g. if the message is passed through the radios or in a Council meeting	It is not suitable for transmission of lengthy messages, for there is every likelihood of something of vital importance being missed

- *Audio-Visual communication:* Posters are the commonest form of visual communication in use in Local Governments. Other forms of audio-visual communication include television and radio.

Advantages of Visual Communication	Limitations of Visual Communication
They attract the community and encourage them to take the message	Posters are expensive to make and if not well made may communicate the wrong message
If well displayed, the same poster can pass a message to many people	Feedback to the sender of the information may not be possible
Visual aids, such as television and posters, explain difficult issues more easily	They rely on the target audience being in the proximity and seeing the communication
Can reach many people over a large area at the same time	Many members of the community cannot afford or do not have access to televisions or radios

A number of factors can lead to communication breakdown.

1. *Communicating unclear messages.* In the Local Government context, problems of communication arises from conflicting messages coming from the different line Ministries to the lower Local Governments.
2. *Distortion of the information communicated.* In the local set up, vertical communication from the centre has to follow a long hierarchy from the Ministries via

Districts, Sub-Counties, Parishes to the Villages. In the process, if part of the information is verbal, there is every possibility that the communication will be distorted.

3. *Communicating unnecessary information.* This happens where the sender does not consider first how the receiver is going to use the information being provided.
4. *Lack of interest by the listener and /or speaker in the information being communicated.* Sometimes the breakdown in communication arises out of reluctance on the part of the receiver to read the information. Some officials are given guidelines, regulations and reports and they do not read them.
5. *Communicating long messages.* This is especially true when the method of communication is oral. It is difficult for the listener to retain a lot of information.
6. *Interruptions during the communication process.* This may prevent the receiver from hearing all that is being said; as a result, some vital aspects of the communication may be missed.
7. *Use of long/new words and jargon when communicating.* This is sometimes a problem especially in communications that originate from donors or NGOs operating in our Local Governments.
8. *Use of language that is not easily understood by the whole audience.* The level of education in most of the lower Local Government officials is low, and yet the official language for conducting Government business is English.
9. *When verbal messages do not match the non-verbal messages.* This is where the tone or bodily expression of the communicator does not match what is being expressed in words.
10. *Pre-conceptions and biases by both the communicator and the receiver.* This influences the interpretation of the message that is being passed across. In some Local

Governments, there is misunderstanding between the politicians and civil servants where the latter look at the former as being corrupt and *vice versa*.

Your actions will also influence how you communicate:

- Always listen carefully and without preconceptions. Ask for clarifications when you have misunderstood. Good listening demands that we concentrate not only on explicit meaning another person is expressing, but also on the implicit meanings, the unspoken words and undertones that may be far more significant.
- Speak clearly and plan in advance what one wants to communicate and decide on the most appropriate method to use. The more systematically we analyse the idea to be communicated, the clearer it becomes.
- Maintain eye contact when communicating face-to-face.
- Always be observant and listen with both your ears and eyes. Observe the body language of the persons to whom you are communicating.
- Examine the true purpose of each communication. Before you communicate, ask yourself what you really want to accomplish. Initiate action? Change another person's attitude? Adapt your language, tone and total approach to serve that specific purpose.
- Consider the total physical and human setting whenever you communicate. Make sure the environment is appropriate. Consider, for example, your sense of timing, social climate, etc.
- Where appropriate, consult with other people in the Local Government who are affected the issues when planning communication.
- Be mindful, while you communicate, of the overtones and the basic content of your message.

- Follow up your communication. Make sure that every important communication has a feedback to confirm that there has been complete understanding and that appropriate action will follow
- Make sure that your actions support your communication. In the final analysis, the most persuasive kind of communication is not what you say, but what you do.

## **5.0 References**

Ariel Fiszbein and Pamela Laoden (1995) Working together for a Change: Government Civic and Business Partnerships for Poverty Reduction- Economic Development Institute of the World Bank Washington DC

Business Partners for Development 1998-2001 Putting Partnering to work: Results and Recommendations for Non-governmental Organisations

Business Partners for Development 1998-2001 Putting Partnering to work Results and Recommend Business Organisations

Dixon, Richard B (1992) Reducing Costs through Public/Private Partnerships. Government Finance Review

[http:// www.fao.org/DOCREP](http://www.fao.org/DOCREP)

The Budget Speech 2002

The Constitution of the Republic of Uganda, 1995

The International Journal of Public Private Partnerships (JPPP)

The Local Government Financial and Accounting Regulations, 1998

The Local Governments Act, 1997

The NGO Statute

The Poverty Eradication Action Plan (PEAP) 2001

The Uganda Mid Term Strategy for the Private Section 2000-2005

## 6.0 Glossary of Terms

<u>Brainstorm</u>	Where participants are encouraged to share ideas in a group session in order to reach a common conclusion or answer to a problem. The facilitator can play an active role as necessary in order to steer discussions in the right direction.
<u>Buzz Method</u>	Small group discussions focussing on buzz words or ideas.
<u>Case Study</u>	A real-life scenario is reproduced in order that the participants can examine what happened, discuss what problems occurred and what caused them, and agree on the lesson(s) that can be learnt from the story. In some of the Sessions, two Case Studies might be presented, or a Group Exercise and a Case Study. It is then up to the facilitator to decide whether the time will allow for both to be covered, or whether s/he should only concentrate on exploring one at a greater depth.
<u>Facilitator</u>	The leader of the training module. The emphasis here is on <i>enabling</i> the participants to discuss, share experience and learn. The role is not one of “lecturer”.
<u>Gender</u>	This refers to socially constructed and differentiated roles that are assigned to the sexes and, most of the time, are determined by culture. Both men and women are expected to follow these norms and behaviour in order to remain in the good graces of society. These roles can and may change over time.
<u>Handouts</u>	The handouts are prepared, brief notes covering the key points of each Session. All the handouts for one Module are grouped together in the Annex to that Module. It is preferable that the handouts to a Session are not made available to the participants until the end of the Session.
<u>Lecturette</u>	This is a mini-lecture of a maximum of 20 minutes. Because of the participatory design of this course, lectures are to be kept to a minimum. However, it is important that a summary of the key points be made by the facilitator and understood by the participants before they carry on with the Reflection part of the training session.
<u>Participant</u>	A person attending the workshop. The emphasis here is on <i>participating</i> – learning through activities and shared experiences.
<u>Participation</u>	Where communities take an active role in determining their own destiny. This may be through decision-making or the actual involvement in designing, implementing and managing of development projects and programmes
<u>Plenary</u>	The whole group of participants, including the facilitator.
<u>Role Play</u>	A scenario, either fictional or real-life, is recreated and participants are invited to act out the part of one of the key players in the story, exploring the issues from that person’s perspective, etc.